	<u> </u>	BALL BATIRTA ALLIA DIONE
(REV 10-97)	EPARTMENT OF COMMERCE PATENT AND TRADEMARKS FIG	SEEL VERIGINA CONTACTOR CONTROL
TRANSMITTAL LETTER	TO THE UNITED STATES	1209-122P
DESIGNATED/ELECTE	U.S. APPLICATION NO. (If known, see 27 (7R1)5)	
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INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/SE 96/01119	06 September 1996	08 September 1995
TITLE OF INVENTION		TD MAD GENTAG
METHODS AN APPLICANT(S) FOR DO/EO/US	ND COMPOSITIONS FOR NUCLEIC ACT	ID TARGETING
	LANDEGREN, Ulf	
Applicant herewith submits to the Untied State	es Designated/Elected Office (DO/EO/US) the f	ollowing items and other information:
1. This is a <b>FIRST</b> submission of items cond	cerning a filing under 35 U.S.C. 371.	
	ubmission of items concerning a filing under 35 U	J.S.C. 371.
	1 examination procedures (35 U.S.C. 371(f))	
evamination until the expiration of th	ne applicable time limit set in 35 U.S.C. 371(	b) and PCT Articles 22 and 39 (1).
4. A proper Demand for International Pr	reliminary Examination was made by the 19th	month from the earliest claimed priority date
5. A copy of the International Application	on as filed (35 U.S.C. 371(c)(2))	
a. is transmitted herewith (requi	red only if not transmitted by the Internation	al Bureau). WO 97/09069
b. has been transmitted by the Ir		
is not required as the applicat	tion was filed in the United States Receiving	Office (RO/US).
A translation of the International Ap	oplication into English (35 U.S.C. 371(c)(3)).	
7. Amendments to the claims of the Int	ternational Application under PCT Article 19	9 (35 U.S.C. 371(c)(2)).
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b. A have been transmitted by the		
	r, the time limit for making such amendment	s has NOT expired.
d. have not been make and will		-
8. A translation of the amendments to	the claims under PCT Article 19 (35 U.S.C.	371(c)(3)).
An oath or declaration of the invent		
	International Preliminary Examination Report	rt under PCT Article 36
(35 U.S.C. 371(c)(5)).	1	
	(a) an information included:	
frems 11. to 16. below concern document(	s) or information included:	
11. An Information Disclosure Stateme	ent under 37 CFR 1.97 and 1.98.	
12. An assignment document for record	ding. A separate cover sheet in compliance w	vith 37 CFR 3.28 and 3.31 is included.
13. A FIRST preliminary amendment.		•
A SECOND or SUBSEQUENT pre	eliminary amendment.	
14. A substitute specification.		
15. A change of power of attorney and	/or address letter.	
16. Other items or information:		
International Search Report (PCT/I International Preliminary Examinat	SA/210) tion Report (PCT/IPEA/409)	

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For: METHODS AND	COMPOSITIONS FOR NUCLEIC A	ACID TARGETING
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	ED STATEMENT (DECLARATION) US (37 CFR 1.9(f) and 1.27 (b)) — It	
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As a below named inve	entor, I hereby declare that I qualify	as an independent inventor as defined in 37
CFR 1.9(c) for purpose	es of paying reduced fees under sec	ction 41(a) and (b) of Title 35, United States
	MPOSITIONS FOR NUCLEIC ACT	ne invention entitled
		D TARGETING described in:
( ) the specifica	ation filed herewith	, filed <u>March 6, 1998</u>
( ) patent no	erial no.	issued
I have not assigned, gra	anted, conveyed, or licensed and am	under no obligation under contract or law to
assign, grant, convey o	or license, any rights in the invention	to any person who could not be classified as
an independent invent	or under 37 CFR 1.9(c) if that person fy as a small business concern under	n had made the invention, or to any concerner 37 CFR 1.9(d) or a nonprofit organization
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PATENT 029579

### IN THE U.S. PATENT AND TRADEMARK OFFICE

APPLICANT: LANDEGREN, Ulf

INT'L. APPLN. NO.: PCT/SE 96/01119

SERIAL NO.:

GROUP:

FILED: March 6, 1998

**EXAMINER:** 

FOR:

METHODS AND COMPOSITIONS FOR NUCLEIC ACID TARGETING

#### PRELIMINARY AMENDMENT

Assistant Commissioner for Patents Box Patent Applications Washington, D.C. 20231 March 6, 1998

Sir:

The following Preliminary Amendments and Remarks are respectfully submitted in connection with the above-identified application.

## IN THE SPECIFICATION:

Before line 1, insert --This application is the national phase under 35 U.S.C. §371 of prior PCT International Application No. PCT/SE 96/01119 which has an International filing date of September 6, 1996 which designated the United States of America, the entire contents of which are hereby incorporated by reference.--

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#### REMARKS

The specification has been amended to provide a crossreference to the previously filed International Application.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. §1.16 or under 37 C.F.R. §1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

GERALD M. MURPHY, JR.

Reg. No. 28,977

P.O. Box 747

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# METHODS AND COMPOSITIONS FOR NUCLEIC ACID TARGETING

### Field of the invention

The present invention relates to methods and pharmaceutical compositions for targeting nucleic acid sequences, more specifically double stranded nucleic acid sequences. The compositions comprise oligonucleotides in the form of so called padlock probes. The padlock probes have two free nucleic acid end parts which are at least partially complementary to and capable of hybridizing with two at least substantially neighboring respective regions of a target nucleic acid sequence. Furthermore, the invention relates to use of said compositions as medicaments for treating genetic disorders.

## Background of the invention

Oligonucleotides as potential therapeutics has developed by the ability to synthesize oligonucleotides, chemically modified oligonucleotide analogs and conjugated oligonucleotides, of suitable quantity and purity, as a result of the now ready availability of oligonucleotides through automated synthesis using, for example, the phosphoramidite method.

A first approach to therapeutic use of oligonucleotides is to use them as inhibitors of translation, with the complementary or 'antisense' base sequence targeted to a specific 'sense' sequence in the mRNA. In this way, expression of a specific protein can be regulated or inhibited.

Mechanisms of antisense inhibition include interference with ribosome binding and processing of mRNA conformation or mRNA splicing, and RNAase-H activation of mRNA digestion. The preferred target for antisense inhibition is the 5'-initiation codon.

A second approach to therapeutic use of oligonucleotides is to target DNA therewith and thereby directly inhibit gene function by inhibiting transcription to mRNA. In contrast to mRNA which,



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 although extensively folded, is readily accessible, the DNA duplex is very stable which complicates inhibition thereof.

One way of solving the problem with inaccessibility of double stranded DNA is to take advantage of the fact that a third strand can be accommodated in the major groove of the B-form DNA duplex to form a triplex structure.

Duplex recognition by an oligonucleotide involves the formation of two hydrogen bonds with the purines of Watson-Crick base pairs within the major groove of the double helix. Thymine, cytosine, and guanine can adopt two different orientations called 'Hoogsteen' and 'reverse Hoogsteen' by analogy with the hydrogen-bonding scheme discovered by Hoogsteen in co-crystals of A and T derivatives. In contrast, adenine and inosine can form two hydrogen bonds with and A.T base pair in a single orientation. It should be noted that in order to form two hydrogen bonds with G, cytosine must be protonated. Therefore, triplets involving C+ x G.C are more stable at acidic pH. Methylation at C-5 of cytosine also contributes to stabilization of the triple helix.

Several mechanisms exist by which triple helix formation can alter gene transcription:

- 1. Triple helix formation within the promoter region can change DNA conformation and therefore alter the rate and efficiency of RNA polymerase initiation. This can lead to either activation or inhibition of transcription.
- 2. Oligonucleotide binding to a DNA sequence overlapping a transcription factor binding site may inhibit its transactivating capacity.
- 3. Triplex formation within or adjacent to the region where RNA polymerase binds may inhibit transcription initiation even if RNA polymerase and transcription factors are still bound to the promoter.
- 4. Oligonucleotide binding downstream of the RNA polymerase recognition site might inhibit progression of the transcription machinery along the DNA and therefore block RNA elongation.

Targeting by triple helix formation is limited to only a particular subset of DNA sequences, such as those associated with homopurine-homopyrimidine tracts.

An alternative way of directly inhibiting DNA is described in Nucleic Acids Research, 1993, Vol 21, No 2, p 197-200 to Nielsen et al. The authors describe that PNA (peptide nucleic acids chimera), i.e., DNA analogues in which the deoxyribose phosphate backbone has been replaced with a peptide backbone consisting of (2-amoniethyl)glycine units have retained the hybridization properties of DNA. There is shown that PNA binds more strongly to complementary oligonucleotides than DNA itself. Moreover, PNA can bind sequence specifically to double stranded DNA. This binding takes place by strand displacement rather than by triple helix formation. In brief, a rather unstable strand displacement complex is first formed with only one PNA molecule bound to the target by Watson-Crick hydrogen bonding, and this is subsequently trapped by binding of a second PNA molecule via Hoogsteen hydrogen bonding.

However, because of their relatively strong binding the sequence specificity rapidly diminishes with the increasing length of the PNA probes.

Branch capture reactions (BCRs) target duplex restriction fragments terminating in overhanging bases with short homologous single stranded DNA oligonucleotides that can pair with the unpaired overhanging bases and some flanking sequence so that complete base pairing displaces the end of one resident strand by branch migration. The limitation of BCRs is that they are limited to targeting only known terminal sequences and are, thus, not very suitable as therapeutic agents.

In Nature Genetics, vol. 3, april 1993, there is described another probe-targeting method which uses Rec A protein-coated short single stranded DNA probes to form four stranded hybrids between probes and duplex DNA targets. With this method in-

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ternally localized sites can be targeted and the four stranded hybrids are stable.

All the above nucleic acid targeting methods suffer from drawbacks the most important one being the insufficient sequence specificity of the probes. This is an especially essential consideration in respect of the potential use of the probes as therapeutics.

#### Summary of the invention

The present invention is derived from the copending international application no. PCT/SE95/00163 entitled: Method, reagent and kit for detection of specific nucleotide sequences. This application is referred to and herein incorporated by reference. In this application so called padlock probes are described.

In summary, said application describes a probe designed to be circularized in the presence of a target sequence, wherein said probe is caused to close around the target nucleic acid, for example DNA or RNA, such that the cyclic probe will interlock with and thereby be efficiently linked to the target nucleic acid in a manner similar to "padlocks". The circularization of the probe ends is achieved with, for example, ligase. Such covalent catenation of probe molecules to target sequences result in the formation of an extremely stable hybrid.

It has now been surprisingly found that these padlock probes are able to affect gene function directly by binding to double stranded nucleic acids, without a prior denaturation step, and thereby affect the replication and transcription of the bound molecule. This is expected to provide new therapeutic possibilities for in vivo manipulation of gene sequences and treatment of genetic disorders.

In a first aspect, the present invention provides a method for targeting double stranded nucleic acids, comprising the following steps:

a) contacting a linear padlock probe
having two free nucleic acid end parts which are at least
partially complementary to and capable of hybridizing with two
at least substantially neighboring respective regions of a
target nucleic acid sequence;

with a double stranded nucleic acid target without prior denaturation of said target;

- b) hybridizing said free nucleic acid end parts with said two at least substantially neighboring respective regions of a target nucleic acid sequence; and
- c) circularization of said padlock probe by joining said free end parts.

The joining in step c) is performed with a linking agent such as a ligase enzyme or mutually chemically reactive compounds at the free end parts.

The method of the invention can be performed both in vitro and in vivo.

According to a second aspect, the present invention provides a pharmaceutical composition for targeting double stranded nucleic acids, comprising an effective amount of a padlock probe oligonucleotide having two free nucleic acid end parts which are at least partially complementary to and capable of hybridizing with two at least substantially neighboring respective regions of a target nucleic acid sequence so that the padlock probe can be circularized by joining said free end parts and catenate with the target sequence for direct inhibition thereof.

The composition is preferably formulated in admixture with a suitable carrier, such as conventional pharmaceutically acceptable carriers known in the art.

According to a third aspect of the invention the above described

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compositions are used as a medicament for treating genetic disorders.

### Detailed description of the invention

Padlock probe targeting to double stranded DNA according to the method of the invention optionally involves a linking agent which can be chemical or biological. It is, for example, a ligaseassisted reaction. The principle employed in such a reaction is that a linear two-probe segment with a probe in each end, complementary to two target sequences situated in juxtaposition, are joined to a contiguous circular probe sequence with the aid of a linking agent, such as a DNA ligase. Examples of ligases are T4 DNA ligase, T7 DNA ligase, E.coli DNA ligase, and Thermus thermophilus DNA ligase. Also groups that are mutually chemically reactive may be used to join the ends of the probes in an enzymeindependent manner. This way of joining oligonucleotide ends has been previously used in the art. Besides ligases, proteins like RecA or single strand-binding protein can enhance the ability of circularizable probes to hybridize and become catenated to, base paired DNA.

The compositions according to the invention may or may not contain a linking agent depending on the use of the compositions. In vivo, RecA and DNA ligase are already present, and thus the addition of a linking agent may not be necessary for therapeutic applications.

According to the present invention, padlock probes are used in in vitro methods to specifically detect DNA sequences within a cell, without a requirement for prior denaturation. In this manner, for example, the correct spatial relations between specific DNA sequences can be analyzed without artificially induced effects.

In the in vitro method of the invention, probes of this type could also be used to modify and thereby mutate specific genes in in vitro cell lines, and for instance in embryonal stem cells

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to give rise to transgenic animals carrying mutations in predefined genes.

In all these various applications, the effects of the padlock probes may be accentuated by at least partially building the probes of non-natural nucleic acids, or of polymers such as PNA, having advantages such as stronger base pairing, greater resistance to nucleases, or increased ability to cross cell membranes.

Padlock probes bind selectively and stably to double stranded DNA and enable sequence specific modification of DNA. In fact, it is contemplated that padlock probes even will be able to selectively bind gene sequence variants with point mutations, in order to inhibit the expression of the mutant genes, since the ligation is dependent upon the exact target sequence. The increased specificity is achieved by the fact that two shorter probe segments have to cooperate for binding to occur. A further advantage is that padlock probes are not sensitive to exonucleases due to their circular shape when they are ligated. On the other hand, excess of padlock probes is rapidly degraded by exonucleases which is a benefit in, for example, drug formulation.

The invention will now be illustrated further, by way of example only, by the following non-limiting specific Examples.

#### EXAMPLE 1

Padlock probe binding to double stranded nucleic acid target A padlock probe oligonucleotide having the following sequence: 5' P-TGG TGT TTC CTA TGA-((HEG<sub>2</sub>)C-B)<sub>4</sub>(HEG)<sub>2</sub>-AAG AAA TAT CAT CTT-3', wherein P is a phosphate residue, HEG is hexaethylene glycol and C-B is a biotinylated C residue, was synthesized using a commercial DNA synthesizer. The two ends of the oligonucleotide were capable of base-pairing adjacent to each other with exon 9 of the CTFR gene contained in the double stranded plasmid pUC 19.

The probe was labeled by exchanging the present 5' phosphate residue with  $^{32}P$  using polynucleotide kinase and was allowed to hybridize with the target sequence. In a volume of  $20\mu l$  2 pmole probe were mixed with 0.2 pmole of plasmid in the presence or absence of 24 pmole RecA protein in a solution of 10mM Tris, pH 7.5, 10 mM Mg(Ac)<sub>2</sub>, 50 mM KAc, 2 mM ATP with 5 units T4 DNA ligase and was incubated for 30 minutes at 37°C.

After incubation, washing was performed under non-hybridizing conditions. Thereafter, the reaction products were separated on a denaturing 6% polyacrylamide gel and the radioactive label was quantified in a Phosphorimager (Molecular Dynamics). The results clearly showed comigration, demonstrating invasion and binding of the above padlock probe to the double stranded plasmid, both in the presence and absence of RecA.

#### EXAMPLE 2

Padlock probe binding to double stranded nucleic acid target and inhibition of promotor

A 90-mer padlock probe with two 20 nucleotide end regions, capable of hybridizing in juxtaposition on one strand of the insert cloned in a Bluescript plasmid, was allowed to hybridize to a denatured, amplified fragment of the insert, and including the two transcriptional promoters T3 and T7, flanking the insert. One ng of amplification product was mixed with 20 pmol of padlock probe in a 10µl reaction with 10U of Tth ligase (Epicenter Technologies) in the presence of a NAD+-containing buffer, as recommended by the manufacturer. This buffer was previously shown to be well suited also for transcription by both the T3 and T7 RNA polymerases. The presence of a padlock probe on the double stranded amplified fragment efficiently interferred with transcription of both strands of the amplified fragment.

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#### AMENDED CLAIMS

[received by the International Bureau on 17 January 1997 (17.01.97); original claims 1 - 13 replaced by amended claims 1 - 7 (1 page)]

- 1. A pharmaceutical composition for targeting double stranded nucleic acids, characterized in that it comprises an effective amount of a padlock probe oligonucleotide having two free nucleic acid end parts which are at least partially complementary to and capable of hybridizing with two at least substantially neighboring respective regions of a target nucleic acid sequence so that the padlock probe can be circularized by joining said free end parts and catenate with the target sequence for direct inhibition thereof.
- 2. A composition according to claim 1, in admixture with a suitable carrier.
- 3. A composition according to claim 1, also comprising a linking agent.
- 4. A composition according to claim 3, wherein linking agent is a ligase enzyme.
- 5. A composition according to claim 1, comprising mutually chemically reactive compounds at said end parts.
- 6. A composition according to any of claims 1-5, wherein said padlock probe comprises non-natural nucleic acids or polymers.
- 7. A composition for targeting nucleic acids, comprising an effective amount of a padlock probe having two free nucleic acid end parts which are at least partially complementary to and capable of hybridizing with two at least substantially neighboring respective regions of a target nucleic acid sequence so that it can be circularized and catenate with the target sequence, for use as a medicament.

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Hard Hard Chara and the fam that hard that the fam that t	including the claims, as an I acknowledge the du Code of Federal Regulatio I do not know and do my or our invention thereo our invention thereof or mon sale in the United States been patented or made the country foreign to the United States to the United States of the United States	nave reviewed and understantended by any amendment ty to disclose information was, §1.56. The properties of the properti	referred to above.  hich is material to patental  r known or used in the Unit  in any printed publication if  this application, that the sar  year prior to this application  tificate issued before the da  application filed by me or  application filed by me or  application for the sapplication,  een filed in any country for  presentatives or assigns, excelle 35, United States Code,  ed below and have also id	oility as defined in ed States of Amer in any country before was not in pulle, that the invention to this application and that no application to the United the Equation (a) of a sentified below ar	ica before ore my or olic use or on has not ion in any neatives or cation for d States of my foreign my foreign
Insert Priority Haiformation: (If appropriate)	priority is claimed:  Prior Foreign Application  9503117-5 (Number)	ion(s) Sweden (Country)	09/08/95 (Month/Day/Year Filed)	Priority X Yes	Claimed  No
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Insert Provisional	I hereby claim the berapplication(s) listed below	nefit under Title 35, United	States Code, §119(e) of an		
Application(s):	(Application Number)		(Film	g Date)	
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

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